

# Multiple and least energy sign-changing solutions for Schrödinger-Poisson equations in $\mathbb{R}^3$ with restraint

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## ABSTRACT

In this paper, we study the existence of multiple sign-changing solutions with a prescribed  $L^{p+1}$ -norm and the existence of least energy sign-changing restrained solutions for the following nonlinear Schrödinger-Poisson system:

$$\begin{cases} -\Delta u + u + \phi(x)u = \lambda |u|^{p-1} u, & \text{in } \mathbb{R}^3, \\ -\Delta \phi(x) = |u|^2, & \text{on } \mathbb{R}^3. \end{cases}$$

By choosing a proper functional restricted on some appropriate subset to using a method of invariant sets of descending flow, we prove that this system has infinitely many sign-changing solutions With the prescribed  $L^{p+1}$ -norm and has a least energy for such sign-changing restrained solution for  $p \in (3, 5)$ . Few existence results of multiple sign-changing restrained solutions are available in the literature. Our work generalize some results in literature.

## Indexing terms/Keywords

sign-changing solution, prescribed  $L^{p+1}$ -norm, multiplicity, local genus.

## Academic Discipline And Sub-Disciplines

Mathematics Studies;

## SUBJECT CLASSIFICATION

Mathematics Subject Classification: 35j20, 35j60.

## TYPE (METHOD/APPROACH)

Nonlinear analysis, critical points theory, variational method.

## 1. INTRODUCTION AND MAIN RESULTS

In this paper, we study the multiplicity of sign-changing solutions of the following nonlinear Schrödinger-Poisson system:

$$\begin{cases} -\Delta u + u + \phi(x)u = \lambda |u|^{p-1} u, & \text{in } \mathbb{R}^3, \\ -\Delta \phi(x) = |u|^2, & \text{on } \mathbb{R}^3. \end{cases} \quad (1.1)$$

where  $p \in (3, 5)$ ,  $\lambda \in \mathbb{R}$  is a parameter. This system has been first introduced in [1] as a physical model describing a charged wave interacting with its own electrostatic field in quantum mechanic. The unknowns of the system are the field  $u$  associated to the particle and the electric potential  $\phi$ . The presence of the nonlinear term simulates the interaction between many particles or external nonlinear perturbations. We refer the readers to [1] and the references therein for the physical aspects of problem (1.1). Similar equations have been very studied in literature, see [2-7, 10-16].

The  $\lambda \in \mathbb{R}$  in (1.1) is called a frequency. For fixed  $\lambda$ , system (1.1) has been extensively studied on the existence of positive solutions, ground states, radial and non-radial solutions and semiclassical states, see e.g. [6-17], etc. As shown by recent results the structure of the solution set of (1.1) depends strongly on the value of  $p$  of the power-type nonlinearity. In [6] and [8], a related Pohozev equality is found, and then the authors proved that system (1.1) does not admit any nontrivial solution for  $p \leq 2$  or  $p \geq 5$  if  $\lambda = 1$ . While as  $p \in (2, 5)$ , the existence and multiplicity results have been obtained for  $\lambda > 0$  by using variational techniques.

To continue the statement well, let us fix some notations. We will write  $H^1 = H^1(\mathbb{R}^3)$ ,  $D^1 = D^{1,2}(\mathbb{R}^3) = \{u \in L^6(\mathbb{R}^3) : \nabla u \in$



$L^2(\mathbb{R}^3)$  as the usual Sobolev spaces, and  $H_r^1, D_r^1$  the corresponding subspaces of radial functions. Recall that the inclusion  $H_r^1 \rightarrow L^q = L^q(\mathbb{R}^3)$  is compact for  $2 < q < 6$  (see [18]). In the present paper, we will take  $H = H_r^1$  as the work space. Sometimes we will simply write  $\int f$  to mean the Lebesgue integral of  $f(x)$  in  $\mathbb{R}^3$ . We make use of the following notations.

$$|u|_p = \left( \int_{\mathbb{R}^3} |u(x)|^p dx \right)^{\frac{1}{p}} \text{ for } p \in [2, +\infty) \text{ and } u \in L^p;$$

$$\|u\| = \left[ \int_{\mathbb{R}^3} |\nabla u|^2 dx + \int_{\mathbb{R}^3} |u|^2 dx \right]^{\frac{1}{2}} \text{ for } u \in H^1 = H^1(\mathbb{R}^3).$$

$c, d, c_j, d_j$  Denote positive constants which can change line to line.

We say that  $(u_c, \lambda_c) \in H_r^1(\mathbb{R}^3) \times \mathbb{R}$  is a couple of solution to (1.1) if  $u_c$  is a solution to (1.1) with  $\lambda = \lambda_c$ . Motivated by the fact that physicists are often interested in restrained solutions or normalized solutions, that is, solutions with a prescribed  $L^{p+1}$ -norm, we consider for each  $c > 0$  the following problem:

**(P<sub>c</sub>):** There exists a couple  $(u_c, \lambda_c) \in H_r^1(\mathbb{R}^3) \times \mathbb{R}$  of solution to (1.1) such that  $|u|_{p+1}^{p+1} = c$ .

Recently, normalized or restrained solutions to elliptic equations attract much attention of researchers, see e.g. [19-31]. In [19], Liu and Wang considered the restrained problem to the following quasilinear Schrödinger equation:

$$-\Delta u + V(x)u - \frac{1}{2}u\Delta u^2 = \lambda |u|^{p-1}u \quad \text{in } \mathbb{R}^N. \quad (1.2)$$

They proved the existence of a positive solution with the restraint  $\int_{\mathbb{R}^N} |u|^{p+1} dx = 1$ , and  $\lambda$  appears as an unknown Lagrangian multiplier, to Eq. (1.2). In [20], Xiong and Liu proved the existence of a sign-changing solution with the restraint  $|u|_{p+1}^{p+1} = 1$  to (1.2). In [21], Benci and Cerami considered the following semi-linear Schrödinger equation:

$$-\Delta u - \lambda u = g(u), \quad \lambda \in \mathbb{R}, \quad x \in \mathbb{R}^N. \quad (1.3)$$

With  $g(u) = |u|^{p-1}u$ , they proved the existence of multiple positive solutions with the restraint  $|u|_{p+1}^{p+1} = 1$  to (1.3).

In [23], by using a minimax procedure, Jeanjean proved that for each  $c > 0$ , there is a couple  $(u_c, \lambda_c) \in H^1(\mathbb{R}^N) \times \mathbb{R}$  of weak solution to (1.3) with  $|u|_2^2 = c$ . In [26], Bartsch and De Valeriola considered the semi-linear Schrödinger equation (1.3) and proved that there are infinitely many normalized solutions to Eq. (1.3). In [27], Bellazzini et al. considered (1.1) and proved that for  $p \in (\frac{7}{3}, 5)$  there exists  $c_0 > 0$  such that for any  $c \in (0, c_0)$ , equation (1.1) has a couple  $(u_c, \lambda_c) \in H^1(\mathbb{R}^N) \times \mathbb{R}$  of weak solution with  $|u|_2^2 = c$  by using a mountain pass argument on

$$S(c) = \{u \in H^1(\mathbb{R}^3) : |u|_2^2 = c\}, \quad c > 0.$$

Luo in [30] proved that when  $p \in (\frac{7}{3}, 5)$ , there exists  $c_0 > 0$  such that for any  $c \in (0, c_0)$ , equation (1.1) admits an unbounded sequence of couples of weak solutions  $\{(\pm u_n, \lambda_n)\} \subset H_r^1(\mathbb{R}^N) \times \mathbb{R}$  with  $|u_n|_2^2 = c$  for each  $n \in \mathbb{N}^+$ . Luo and Wang in [31] proved that there are infinitely many normalized high energy solutions to Kirchhoff-type equations restrained on  $S(c) = \{u \in H^1(\mathbb{R}^3) : |u|_2^2 = c\}, c > 0$ .

On the other hand, the problem of finding sign-changing solutions is a very classical problem. In general, this problem is much more difficult than finding a mere solution. There were several abstract theories or methods to study sign-changing solutions. In recent years, for fixed  $\lambda$ , Wang and Zhou [32] obtained a least energy sign-changing solution to (1.1) without any symmetry by seeking minimizer of the energy functional on the sign-changing Nehari manifold when  $p \in (3, 5)$ , based on variational method and Brouwer degree theory. Liu et al [33] considered a more general nonlinear term  $f$ , they proved that problem (1.1) has infinitely many sign-changing solutions under some appropriate conditions on the nonlinearity, especially, the  $f$  is quasi-asymptotic  $p$  order, i.e.,  $\limsup_{|s| \rightarrow +\infty} \frac{|f(s)|}{|s|^p} < +\infty$  for some  $p \in (2, 5)$ . Using



concentration compactness principle and rotational transformation, d' Aveni [34] showed the existence of non-radially symmetric sign-changing solution of (1.1). Using a Nehari type manifold and gluing solution piece together, Kim and Seok [35] proved the existence of radially sign-changing solutions of (1.1) with prescribed numbers of nodal domains for

$p \in (3, 5)$ . Ianni [36] obtained a similar result to [35] for  $p \in [3, 5]$  via a heat flow approach together with a limit procedure. Based on the Lyapunov-Schmidt reduction method, in another paper of Ianni and Vaira [37], the existence of non-radially symmetric sign-changing solutions for the semi-classical limit case of (1.1).

Motivated by the above works, a natural question is whether (1.1) has sign-changing solutions  $u_c$  for problem  $(P_c)$  and whether (1.1) has infinitely many sign-changing restrained solutions  $u_c$  for problem  $(P_c)$ . To the authors' knowledge, there are very few results on the multiple of sign-changing restrained solutions for problem (1.1) in the literature. In the present paper, we focus on the study of multiple sign-changing restrained solutions for system (1.1). We will verify that system (1.1) has infinitely many sign-changing restrained solutions for  $p \in (3, 5)$ . Our main result in this aspect is the following:

**Theorem 1.1.** Let  $p \in (3, 5)$ . Then for any given  $c > 0$ , equation (1.1) has a sequence of couples of sign-changing restrained solutions  $\{(u_k, \lambda_k)\} \subset H^1(\mathbb{R}^3) \times \mathbb{R}^+$  with  $|u_k|_{p+1}^{p+1} = c$  for each  $k \in \mathbb{N}^+$ .

To prove the theorem we use the general ideas inspired by [38] adapting their arguments to our problem which contains also the coupling term. Where a suitable subset was given in which there exist two subsets separating the motivating functional, and on which an auxiliary operator  $\mathbf{A}$  was constructed, so that we are able to apply suitable minimax arguments in the presence of invariant sets of a descending flow generated by the operator  $\mathbf{A}$  to obtain the

existence of multiple sign-changing solutions with restraint to system (1.1). We have used this method to obtain an analogous result to (1.1) for  $p \in (3, 5)$  and  $\lambda = 1$ . Some arguments in our proof are borrowed from [38]. Remark that the ideas in [38] can not be used directly, and here we will give some new techniques. The method seems to be quite new for the nonlinear Schrödinger-Poisson equations and presents several difficulties due to nonlocal term. The method is different from that used in [20, 23, 26, 27] and others.

Since (1.1) has infinitely many sign-changing restrained solutions, another natural question is whether (1.1) has a least energy sign-changing restrained solution, which has not been studied before. Here we can prove the following result.

**Theorem 1.2.** Suppose that the conditions in Theorem 1.1 hold. Then system (1.1) has a least energy sign-changing solution  $(u_c, \lambda_c)$  with restraint  $|u_c|_{p+1}^{p+1} = c$ , that is, it has the least energy among all sign-changing radially solutions with restraint  $|u_c|_{p+1}^{p+1} = c$ .

The paper is organized as follows. In Section 2, we present some preliminary results. We prove Theorem 1.1 in section 3 and Theorem 1.2 in section 4, respectively.

## 2. PRELIMINARIES

In this section, we give some preliminary results. An important fact involving system (1.1) is that this class of system can be transformed into a Schrödinger equation with a nonlocal term (see, for instance, [8, 10]), which allows to apply variational approaches. For any given  $u \in H^1$ , the Lax-Milgram Theorem implies that there exists a unique  $\Phi[u] = \phi_u \in D^1$  such that  $-\Delta \phi = |u|^2$  and

$$\phi_u(x) = \int_{\mathbb{R}^3} \frac{u^2(y)}{4\pi|x-y|} dy.$$

We now summarize some properties of the map  $\Phi$ , which will be useful later. See, for instance, [5] and [8] for a proof.

**Lemma 2.1.**

- (1) The map  $\Phi : u \in H^1 \rightarrow \phi_u \in D^1$  is of class  $C^1$ .
- (2)  $\Phi[u] = \phi_u \geq 0$ .
- (3)  $\Phi[tu] = t^2 \Phi[u]$  for every  $u \in H^1$  and  $t \in \mathbb{R}$ .
- (4) There exists  $c^* > 0$  independent of  $u$  such that

$$\int_{\mathbb{R}^3} \phi_u u^2 \leq c^* \|u\|^4.$$



(5) If  $u$  is a radial function, then so is  $\phi_u$ .

(6) If  $u_n \rightarrow u$  weakly in  $H_r^1$  then  $\Phi[u_n] \rightarrow \Phi[u]$  in  $D_r^1$ , and  $\int_{\mathbb{R}^3} \Phi[u_n] u_n^2 \rightarrow \int_{\mathbb{R}^3} \Phi[u] u^2$  strongly.

From above properties, substituting  $\phi = \phi_u$  into system (1.1), we can rewrite system (1.1) as the single equation

$$-\Delta u + u + \phi_u u = \lambda |u|^{p-1} u,$$

and the energy functional  $I_\lambda : H_r^1 \rightarrow \mathbb{R}$  :

$$I_\lambda(u) = \int \left( \frac{1}{2} (|\nabla u(x)|^2 + |u(x)|^2) + \frac{1}{4} \phi_u(x) u^2(x) - \frac{1}{p+1} \lambda |u(x)|^{p+1} \right) dx$$

is well defined for any  $\lambda > 0$ . Furthermore, it is known that  $I_\lambda$  is a  $C^1$  functional with derivative given by

$$I'_\lambda(u)[v] = \int \nabla u \nabla v + uv + \phi_u uv - \lambda |u|^{p-1} uv.$$

Throughout this paper, we take the following functional

$$I(u) = \int \left( \frac{1}{2} (|\nabla u(x)|^2 + |u(x)|^2) + \frac{1}{4} \phi_u(x) u^2(x) - \frac{1}{p+1} |u(x)|^{p+1} \right) dx \quad (2.1)$$

as our motivating functional. However the functional is unbounded from above and from below on  $H_r^1$ . The idea is to restrict the functional to a suitable subset on which this unboundedness is removed, and in which we can select two subsets separating the motivating functional.

Define

$$M^* = \{u \in H_r^1 : \frac{1}{2} c < |u|_{p+1}^{p+1} < 2c\};$$

$$M = \{u \in H_r^1 : |u|_{p+1}^{p+1} = c\}.$$

Evidently  $M^*$  is open subset of  $H$  and  $M$  is closed. Define

$$N_b^* = \{u \in M^* : \|u\|^2 < b\}, \quad N_b = N_b^* \cap M.$$

We will see that, to obtain solutions of (1.1) solving problem  $(P_c)$ , we turn to study the functional  $I$  restricted to  $N_b^*$ , which is a problem with another extra constraint. We obtain directly the couple on  $(u_c, \lambda_c)$  with restraint  $|u_c|_{p+1}^{p+1} = c$  solving Eq. (1.1) without utilizing critical points of the functional  $I_\lambda$ . Recalling the Sobolev inequality

$$\|u\|^2 \geq S |u|_{p+1}^2, \quad \forall u \in H_r^1,$$

where  $S$  is a positive constant.

Fix any  $k \in \mathbb{N}$ . Let  $W_{k+1}$  be a  $k+1$  dimensional subspace of  $H$ . Then we can find some  $b_k > 0$  such that

$$\|u\|^2 \leq b_k, \quad \forall u \in W_{k+1} \text{ satisfying } |u|_{p+1}^{p+1} < 2c. \quad (2.2)$$

Fix a  $b > 0$  such that

$$b > 2\left(\frac{1}{2} b_k + \frac{1}{4} c^* b_k^2 + \frac{c}{p+1} + 1\right) > b_k. \quad (2.3)$$

From now on, we let  $\alpha = \int (|\nabla u|^2 + |u|^2) = \|u\|^2$ ,  $\beta = \int \phi_u(x) u^2$ ,  $\gamma = \int |u(x)|^{p+1}$  as fixed notations for convenience.

Let  $B_k = \{u \in W_{k+1} : |u|_{p+1}^{p+1} = c\}$ , and for any  $u \in B_k$  we have that

$$I(u) = \frac{1}{2} \alpha + \frac{1}{4} \beta - \frac{1}{p+1} \gamma \leq \frac{1}{2} \alpha + \frac{1}{4} \beta.$$

Since  $B_k \subset N_{b_k}$ , we have that



$$\alpha = \|u\|^2 \leq b_k, \quad \beta \leq c^* b_k^2.$$

Then we obtain that

$$I(u) \leq \frac{1}{2} b_k + \frac{1}{4} c^* b_k^2.$$

Let  $d_k = \frac{1}{2} b_k + \frac{1}{4} c^* b_k^2 + 1$ , therefore, we have

$$\sup_{u \in B_k} I(u) < d_k. \quad (2.4)$$

Then for  $u \in N_b$ , we have that

$$I(u) = \frac{1}{2} \alpha + \frac{1}{4} \beta - \frac{1}{p+1} \gamma \geq \frac{1}{2} \alpha - \frac{c}{p+1}.$$

And we have that

$$\inf_{u \in \partial N_b} I(u) \geq d_k. \quad (2.5)$$

Hence we achieve the following important lemma.

**Lemma 2.2.** There exists  $d_k > 0$  such that

$$\inf_{u \in \partial N_b} I(u) \geq d_k > \sup_{u \in B_k} I(u). \quad (2.6)$$

Now we introduce an auxiliary operator  $\mathbf{A}$ , which will be used to construct the descending flow for the functional  $I$ . Clearly, for any  $u \in N_b^*$ , the operator  $-\Delta + 1 + \phi_u$  is positive definite in  $H_r^1$ . For any  $u \in N_b^*$ , let  $\tilde{w} \in H_r^1$  be the unique solution to the following linear equation

$$-\Delta \tilde{w} + \tilde{w} + \phi_u \tilde{w} = |u|^{p-1} u, \quad \tilde{w} \in H_r^1. \quad (2.7)$$

Since  $|u|^{p+1} > \frac{1}{2} c > 0$ , so  $\tilde{w} \neq 0$  and

$$\int |u|^{p-1} u \tilde{w} = \|\tilde{w}\|^2 + \int \phi_u |\tilde{w}|^2 \geq \|\tilde{w}\|^2 > 0.$$

Let

$$w = \sigma \tilde{w}, \quad \text{where } \sigma = \frac{c}{\int |u|^{p-1} u \tilde{w}} > 0.$$

Then  $w$  is the unique solution of the following problem

$$\begin{cases} -\Delta w + w + \phi_u w = \sigma |u|^{p-1} u, \\ \int |u|^{p-1} u w = c, \end{cases} \quad w \in H_r^1. \quad (2.8)$$

Then, the operator  $\mathbf{A}$  is defined as follows: for any  $u \in N_b^*$ ,  $\mathbf{A}(u) = w \in H_r^1$ . Clearly,  $\mathbf{A}$  is odd. Furthermore, we have

**Lemma 2.3.** The operator  $\mathbf{A}$  is of class  $C^1$  from  $N_b^*$  to  $H_r^1$ , that is,  $\mathbf{A} \in C^1(N_b^*, H_r^1)$ .

*Proof.* To prove that  $\mathbf{A} \in C^1(N_b^*, H_r^1)$ , we consider the map  $\Psi : N_b^* \times H_r^1 \times \mathbb{R} \rightarrow H_r^1 \times \mathbb{R}$ , where

$$\Psi(u, v, \sigma) = (v - (-\Delta + 1)^{-1}(\sigma |u|^{p-1} u - \phi_u v), \int |u|^{p-1} u v - c)$$

Then  $\Psi$  is of class  $C^1$ , the implicit function theorem can be applied to  $\Psi$ . Note that (2.8) holds if and only if

$\Psi(u, v, \sigma) = (0, 0)$ . We compute the derivative of  $\Psi$  with respect to  $(v, \sigma)$  at the point  $(u, w, \sigma)$  in the direction



$(\bar{w}, \bar{\sigma})$  and obtain a map  $\Phi: H_r^1 \times \square \rightarrow H_r^1 \times \square$  given by

$$\begin{aligned}\Phi(\bar{w}, \bar{\sigma}) &= D_{(v, \sigma)} \Psi(u, w, \sigma)(\bar{w}, \bar{\sigma}) \\ &= (\bar{w} - (-\Delta + 1)^{-1}(\bar{\sigma} |u|^{p-1}u - \phi_u \bar{w}), \int |u|^{p-1}u \bar{w}).\end{aligned}$$

If  $\Phi(\bar{w}, \bar{\sigma}) = (0, 0)$ , that is

$$-\Delta \bar{w} + \bar{w} + \phi_u \bar{w} = \bar{\sigma} |u|^{p-1}u, \quad (2.9)$$

And

$$\int |u|^{p-1}u \bar{w} = 0.$$

Multiplying the equation (2.9) by  $\bar{w}$  and then integrating it, we get

$$\|\bar{w}\|^2 \leq \bar{\sigma} \int |u|^{p-1}u \bar{w} = 0.$$

Then  $\bar{w} = 0$  and  $\bar{\sigma} |u|^{p-1}u \equiv 0$  in  $\square^3$ , so  $\bar{\sigma} = 0$ . Hence  $\Phi$  is injective.

To prove  $\Phi$  is surjective, given any  $(f, c_1) \in H_r^1 \times \square$ , let  $v_1, v_2 \in H_r^1$  be solutions of the linear problems

$$\begin{cases} -\Delta v_1 + v_1 + \phi_u v_1 = -\Delta f + f, \\ -\Delta v_2 + v_2 + \phi_u v_2 = |u|^{p-1}u. \end{cases}$$

Since  $|u|^{p+1} > \frac{1}{2}c > 0$ , so  $v_2 \neq 0$  and then  $\int |u|^{p-1}u v_2 > 0$ . Let  $\bar{\sigma} = \frac{c_1 - \int |u|^{p-1}u v_1}{\int |u|^{p-1}u v_2}$ ,  $\bar{w} = v_1 + \bar{\sigma} v_2$ , then

$\Phi(\bar{w}, \bar{\sigma}) = (f, c_1)$ , which implies  $\Phi$  is surjective. Hence  $\Phi$  is a bijective map, which implies that  $\mathbf{A} \in C^1(N_b^*, H_r^1)$ . This completes the proof.

**Lemma 2.4.** Suppose that  $\{u_n\} \subset N_b$ ,  $w_n = \mathbf{A}(u_n)$ . Then  $\{w_n\}$  has a strongly convergent subsequence in  $H_r^1$ .

*Proof.* Let  $\{u_n\} \subset N_b$ , then  $u_n$  is bounded in  $H_r^1$ . By (2.7) and the Sobolev inequality, we have

$$\|\tilde{w}_n\|^2 \leq \int |u_n|^{p-1}u_n \tilde{w}_n \leq c^{\frac{p}{p+1}} |\tilde{w}_n|_{p+1} \leq c_0 \|\tilde{w}_n\|.$$

Then  $\{w_n\} \subset H_r^1$  is a bounded sequence. Passing to a subsequence, we may assume that  $u_n \rightarrow u$ ,  $\tilde{w}_n \rightarrow \tilde{V}_0$  weakly in  $H_r^1$  and  $u_n \rightarrow u$ ,  $\tilde{w}_n \rightarrow \tilde{V}_0$  strongly in  $L^s$  for  $s \in (2, 6)$ . Since  $u_n \rightarrow u$  strongly in  $L^{\frac{12}{5}}(\square^3)$ , it follows from Lemma 2.1(6) and the Sobolev imbedding theorem that  $\phi_{u_n} \rightarrow \phi_u$  strongly in  $L^6$ . Consider the identity

$$\int (\nabla \tilde{w}_n \nabla \xi + \tilde{w}_n \xi) + \int \phi_{u_n} \tilde{w}_n \xi = \int |u_n|^{p-1}u_n \xi, \quad \xi \in H_r^1. \quad (2.10)$$

Using the Hölder inequality, we have

$$|\int (\phi_{u_n} \tilde{w}_n \xi - \phi_{u_n} \tilde{V}_0 \xi)| \leq |\phi_{u_n}|_6 |\tilde{w}_n - \tilde{V}_0|_{\frac{12}{5}} |\xi|_{\frac{12}{5}} = o(1)$$

for any  $\xi \in H_r^1$ . Then we get

$$\int \nabla \tilde{w}_n \nabla (\tilde{w}_n - \tilde{V}_0) + \tilde{w}_n (\tilde{w}_n - \tilde{V}_0) = \int \phi_{u_n} \tilde{w}_n (\tilde{w}_n - \tilde{V}_0) + \int |u_n|^{p-1}u_n (\tilde{w}_n - \tilde{V}_0) = o(1).$$

Hence

$$\|\tilde{w}_n\|^2 = \int \nabla \tilde{w}_n \nabla \tilde{V}_0 + \tilde{w}_n \tilde{V}_0 + o(1) = \|\tilde{V}_0\|^2 + o(1),$$

which implies  $\tilde{w}_n \rightarrow \tilde{V}_0$  strongly in  $H_r^1$ . Taking limit as  $n \rightarrow +\infty$  in (2.10) yields

$$\int (\nabla \tilde{V}_0 \nabla \xi + \tilde{V}_0 \xi) + \int \phi_u \tilde{V}_0 \xi = \int |u|^{p-1}u \xi, \quad \xi \in H_r^1.$$



This implies that  $\tilde{V}_0$  satisfies

$$-\Delta \tilde{V}_0 + \tilde{V}_0 + \phi_u \tilde{V}_0 = |u|^{p-1} u.$$

Since  $|u|_{p+1}^{p+1} = c$ , so  $\tilde{V}_0 \neq 0$  and then  $\int |u|^{p-1} u \tilde{V}_0 > 0$ , which implies that

$$\lim_{n \rightarrow \infty} \sigma_n = \lim_{n \rightarrow \infty} \frac{c}{\int |u|^{p-1} u \tilde{w}_n} = \frac{c}{\int |u|^{p-1} u \tilde{V}_0} = \sigma_0.$$

Therefore,  $w_n = \sigma_n \tilde{w}_n \rightarrow \sigma_0 \tilde{V}_0 = V_0$  strongly in  $H_r^1$ . This completes the proof.

Now let us define a map

$$\mathbf{V} : N_b^* \rightarrow H_r^1, \quad \mathbf{V}(u) = u - \mathbf{A}(u).$$

To constructing a descending flow for the functional  $I(u)$ , we prove that  $\mathbf{V}$  is a sort of pseudo-gradient vector of  $I(u)$  restricted on  $N_b$ . We have the following lemma.

**Lemma 2.5.**  $I'(u)[\mathbf{V}(u)] \geq \|\mathbf{V}(u)\|^2, \quad \forall u \in N_b.$

*Proof.* Take any  $u \in N_b$  and write  $w = \mathbf{A}(u)$  as above. By (2.8), we have  $\int |u|^{p-1} u(u-w) = c - c = 0$ . Let  $v = \mathbf{V}(u) = u - w$ , then  $u = v + w$  and  $\int |u|^{p-1} uv = 0$ , we deduce from (2.1) and (2.8) that

$$\begin{aligned} I'(u)[v] &= \int (\nabla u \nabla v + uv) + \int \phi_u uv - \int |u|^{p-1} uv \\ &= \int \nabla(v+w) \nabla v + (v+w)v + \int \phi_u (v+w)v \\ &= \|v\|^2 + \sigma \int |u|^{p-1} uv + \int \phi_u v^2 \\ &\geq \|v\|^2. \end{aligned}$$

**Lemma 2.6.** Let  $u_n \in N_b$  be such that

$$I(u_n) \rightarrow d < d_k, \text{ and } \mathbf{V}(u_n) \rightarrow 0 \text{ strongly in } H_r^1.$$

Then, up to a subsequence, there exists  $u \in N_b$  such that  $u_n \rightarrow u$  strongly in  $H_r^1$  and  $\mathbf{V}(u) = 0$ .

*Proof.* Since  $u_n \in N_b$ , then  $u_n$  is bounded. By Lemma 2.4, up to a subsequence, we may assume that  $u_n \rightarrow u$  weakly in  $H_r^1$  and  $w_n = \mathbf{A}(u_n) \rightarrow V_0$  strongly in  $H_r^1$ , hence  $u_n \rightarrow u$  in  $L^s$  for  $s \in [2, 6]$ , we have

$$\int u_n \xi \rightarrow \int u \xi, \quad \int \nabla(u_n - u) \nabla \xi + (u_n - u) \xi \rightarrow 0, \quad \text{for all } \xi \in H_r^1,$$

and

$$\int |\nabla(w_n - V_0)|^2 + |w_n - V_0|^2 \rightarrow 0.$$

Hence  $\int \nabla(u_n - u) \nabla V_0 \rightarrow 0$ ,  $\int (u_n - u) V_0 \rightarrow 0$ ,  $\int |\nabla(w_n - V_0)|^2 \rightarrow 0$  and  $\int |w_n - V_0|^2 \rightarrow 0$ . Since  $\mathbf{V}(u_n) \rightarrow 0$ , it reads  $\int |\nabla(u_n - w_n)|^2 + |u_n - w_n|^2 \rightarrow 0$ , hence  $\int |\nabla(u_n - w_n)|^2 \rightarrow 0$  and  $\int |u_n - w_n|^2 \rightarrow 0$ . So we have that

$$\begin{aligned} 0 &\leq \int \nabla u_n \nabla(u_n - u) = \int \nabla(u_n - w_n + w_n - V_0 + V_0) \nabla(u_n - u) \\ &= \int |\nabla(u_n - w_n)| |\nabla(u_n - u)| + \int |\nabla(w_n - V_0) \nabla(u_n - u)| + \int \nabla V_0 \nabla(u_n - u) \\ &= c_1 [\int |\nabla(u_n - w_n)|^2 + \int |\nabla(w_n - V_0)|^2] + \int \nabla V_0 \nabla(u_n - u) = o(1). \end{aligned}$$

Similarly, we have



$$0 \leq \int u_n(u_n - u) = \int (u_n - w_n + w_n - V_0 + V_0)(u_n - u) \\ \leq c_1 [\int |u_n - w_n|^2 + \int |w_n - V_0|^2] + \int V_0(u_n - u) = o(1).$$

Hence  $u_n \rightarrow u$  strongly in  $H_r^1$  and so  $u \in \overline{N_b}$ . Therefore,  $\mathbf{V}(u) = \lim_{n \rightarrow \infty} \mathbf{V}(u_n) = 0$ . Moreover,  $I(u_n) \rightarrow d < d_k$  and so  $u \in N_b$ . This completes the proof.

To obtain sign-changing solutions, we make use of the positive and negative cones as in many references such as [33, 38]. Precisely, we define

$$P^+ = \{u \in H_r^1 : u \geq 0\} \text{ and } P^- = -P^+ = \{u \in H_r^1 : u \leq 0\}, \text{ set } P = P^+ \cup P^-.$$

Moreover, for  $\delta > 0$  we define  $P_\delta = \{u \in H_r^1 : \text{dist}_{p+1}(u, P) < \delta\}$ , where

$$\text{dist}_{p+1}(u, P) = \min\{\text{dist}_{p+1}(u, P^+), \text{dist}_{p+1}(u, P^-)\}, \\ \text{dist}_{p+1}(u, P^\pm) = \inf\{|u - v|_{p+1} : v \in P^\pm\}.$$

Denote  $u^\pm = \max\{0, \pm u\}$ , then  $u = u^+ - u^-$  and, it is easy to check that  $\text{dist}_{p+1}(u, P^\pm) = |u^\pm|_{p+1}$ .

Then  $P_\delta$  is an open and symmetric subset of  $H_r^1$  and  $H_r^1 \setminus P_\delta$  contains only sign-changing functions.

**Lemma 2.7.** There exists  $\delta_0 > 0$  such that for  $\delta \in (0, \delta_0)$ , there holds

$$\text{dist}_{p+1}(\mathbf{A}(u), P) < \frac{1}{2}\delta, \quad \forall u \in N_b, \quad \text{dist}_{p+1}(u, P) < \delta.$$

*Proof.* For  $u \in P_\delta$ , we have that  $\text{dist}_{p+1}(u, P^+) < \delta$  or  $\text{dist}_{p+1}(u, P^-) < \delta$ . To show  $\text{dist}_{p+1}(\mathbf{A}(u), P) < \frac{1}{2}\delta$ , we need to show that either  $\text{dist}_{p+1}(\mathbf{A}(u), P^+) < \frac{1}{2}\delta$  or  $\text{dist}_{p+1}(\mathbf{A}(u), P^-) < \frac{1}{2}\delta$  be valid. Indeed, for  $\delta$  small enough, we have the following two statements:

- (1) If  $\text{dist}_{p+1}(u, P^+) < \delta$ , then  $\text{dist}_{p+1}(\mathbf{A}(u), P^+) < \frac{1}{2}\delta$ .
- (2) If  $\text{dist}_{p+1}(u, P^-) < \delta$ , then  $\text{dist}_{p+1}(\mathbf{A}(u), P^-) < \frac{1}{2}\delta$ .

Since the two conclusions are similar, it suffices to prove the first one. Let  $w = \mathbf{A}(u) = w^+ - w^-$ , we have

$$\begin{aligned} \text{dist}_{p+1}(w, P^+) \|w^-\| &= \|w^-\|_{p+1} \|w^-\| \leq c_0 \|w^-\| = -c_0(w, w^-)_{H_r^1} \\ &= -c_0 \left[ \int |u|^{p-1} u w^- - \int \phi_u w w^- \right] \\ &= -c_0 \left[ \int |u^+|^p w^- - \int |u^-|^p w^- + \int \phi_u (w^-)^2 \right] \\ &\leq c_0 \int |u^-|^p w^- \leq c_0 \|u^-\|_{p+1}^p \|w^-\|. \end{aligned}$$

Therefore

$$\text{dist}_{p+1}(w, P^+) \leq c_0 \|u^-\|_{p+1}^{p-1} \|u^-\|_{p+1} = c_0 \|u^-\|_{p+1}^{p-1} \text{dist}_{p+1}(u, P^+).$$

Let  $\delta_0 > 0$  small enough such that  $c_0 \delta_0^{p-1} < \frac{1}{2}$ . Then we get that, if  $\delta \in (0, \delta_0)$  and  $u \in N_b$  with  $\text{dist}_{p+1}(u, P^+) < \delta$ , we have that  $\text{dist}_{p+1}(\mathbf{A}(u), P^+) < \frac{1}{2}\delta$ . This completes the proof.

To continue our proof, we introduce a notion of local genus simulating that of vector genus introduced by [38] to define suitable minimax energy levels. To do this, we consider the class of sets





$$F = \{B \subset M : B \text{ is closed and symmetric with respect to } 0\},$$

and, for each  $B \in F$  and  $k \in \mathbb{N}$ , the class of functions

$$F_k(B) = \{f : B \rightarrow \mathbb{R}^{k-1}, f \text{ is odd and } f \in C(B, \mathbb{R}^{k-1})\}.$$

Here we denote  $\mathbb{R}^0 = \{0\}$ . The genus  $\gamma$  of  $B \in F$  is a number in  $\mathbb{N} \cup \{+\infty\}$ . We say that  $\gamma(B) \geq k$  if for every  $f \in F_k(B)$  there exists  $u \in B$  such that  $f(u) = 0$ . We denote

$$\Gamma_k = \{B \in F : \gamma(B) \geq k\}.$$

As usual, we have the following useful properties of the genus.

**Lemma 2.8.**

- (1) Let  $B \subset M$  and let  $\eta : S^{k-1} = \{x \in \mathbb{R}^k, |x| = c, c > 0\} \rightarrow B$  be an odd homeomorphism. Then  $B \in \Gamma_k$ .
- (2) There holds  $\overline{\eta(B)} \in \Gamma_k$  whenever  $B \in \Gamma_k$  and  $\eta : B \rightarrow M$  is a continuous odd map.

The following two lemmas are crucial in constructing suitable minimax values of  $I$ .

**Lemma 2.9.** Let  $k \geq 2$ . Then there exists  $\delta_0 > 0$ , for any  $\delta \in (0, \delta_0)$  and any  $B \in \Gamma_k$ , there holds  $B \setminus P_\delta \neq \emptyset$ .

*Proof.* For any  $B \in \Gamma_k$ . By the definition of  $\Gamma_k$ , then for any  $f \in F_k(B)$  there exists  $u \in B$  such that  $f(u) = 0$ .

Consider the function  $B \rightarrow \mathbb{R}^{k-1}$  defined as  $f(u) = (\int |u|^p u, 0, \dots, 0) \in \mathbb{R}^{k-1}$ . Clearly  $f \in F_k(B)$ , so there exists  $u \in B$  such that  $f(u) = 0$ . Note that  $u \in M$ , that is  $\int |u|^{p+1} = c$ , we conclude that

$$\int |u^+|^{p+1} = \int |u^-|^{p+1} = \frac{1}{2}c,$$

that is,  $\text{dist}_{p+1}(u, P) = (\frac{1}{2}c)^{\frac{1}{p+1}}$ , and so  $u \in B \setminus P_\delta$  for every  $\delta < \delta_0 \leq (\frac{1}{2}c)^{\frac{1}{p+1}}$ .

**Lemma 2.10.** There exists  $B \in \Gamma_{k+1}$  such that  $B \subset N_b$  and  $\sup_{u \in B} I(u) < d_k$ .

*Proof.* Let  $W_{k+1}$  be a  $k+1$  dimensional subspace of  $H_r^1$ . We define  $B = B_k = \{u \in W_{k+1} : \int |u|^{p+1} = c\}$ . Obviously, there exists an odd homeomorphism from  $S^k$  to  $B$ . By Lemma 2.8 (1) one has  $B \in \Gamma_{k+1}$ . From (2.2) we have that  $B \subset N_{b_k}$ , and so Lemma 2.2 yields  $\sup_{u \in B} I(u) < d_k$ .

Now we are in a position to construct the minimax values for  $I$ . For every  $k_1 \in [2, k+1]$  and  $\delta < \delta_0 \leq (\frac{1}{2}c)^{\frac{1}{p+1}}$ , we define

$$c_{\delta k_1} = \inf_{B \in \Gamma_{k_1}^0} \sup_{u \in B \setminus P_\delta} I(u), \quad (2.11)$$

where

$$\Gamma_{k_1}^0 = \{B \in \Gamma_{k_1} : B \subset N_b \text{ and } \sup_B I < d_k\}.$$

Note that  $\Gamma_{k_2}^0 \subset \Gamma_{k_1}^0$  for any  $k_2 \geq k_1$ , hence  $\Gamma_{k_1}^0 \neq \emptyset$  and so  $c_{\delta k_1}$  is well defined for any  $k_1 \in [2, k+1]$ . Moreover,  $c_{\delta k_1} < d_k$  for every  $\delta \in (0, \delta_0)$  and  $k_1 \in [2, k+1]$ . Define  $N_b^0 = \{u \in N_b : I(u) < d_k\}$ , then by Lemma 2.2  $B_k \subset N_b^0$ .

Now we can construct a descending flow for the functional  $I$ , and then the set  $N_b^0$  will be seen turned out to be the desired invariant set of the flow.

**Lemma 2.11.** There exists a unique global solution  $\eta : [0, +\infty) \times N_b^0 \rightarrow H_r^1$  for the initial value problem

$$\frac{d\eta(t, u)}{dt} = -\mathbf{V}(\eta(t, u)), \quad \eta(0, u) = u \in N_b^0, \quad (2.12)$$



which satisfies

- (1)  $\eta(t, u) \in N_b^0$  for any  $t > 0$  and  $u \in N_b^0$ .
- (2)  $\eta(t, -u) = -\eta(t, u)$  for any  $t > 0$  and  $u \in N_b^0$ .
- (3) For every  $u \in N_b^0$ , the map  $t \rightarrow I(\eta(t, u))$  is non-increasing.
- (4) There exists  $\delta_0 \in (0, (\frac{1}{2}c)^{\frac{1}{p+1}})$  such that, for every  $\delta < \delta_0$ , there holds

$$\eta(t, u) \in P_\delta \quad \text{whenever} \quad u \in N_b^0 \cap P_\delta \quad \text{and} \quad t > 0.$$

*Proof.* The proof is similar to that has shown as in [39]. For the sake of completeness we reproduce that proof here.

Recalling Lemma 2.3, it shows that  $\mathbf{V}(u) \in \mathbf{C}^1(N_b^*, H_r^1)$ . Since  $N_b^0 \subset N_b^*$  and  $N_b^*$  be open, so (2.12) admits a unique solution  $\eta(t, u) \in N_b^*$ , where  $T_{\max} > 0$  is the maximal time such that  $\eta: [0, T_{\max}) \times N_b^0 \rightarrow N_b^* \subset H_r^1$  for all  $t \in [0, T_{\max})$  (since  $\mathbf{V}(u)$  is defined only on  $N_b^*$ ). We should prove  $T_{\max} = +\infty$  for any  $u \in N_b^0$ . Reasoning by contradiction, suppose that there exists some  $u_0 \in N_b^0$ , the flow starting from which the maximal time  $T_{\max} < +\infty$ . Consider

$$\begin{aligned} \frac{d}{dt} \int |\eta(t, u_0)|^{p+1} &= -(p+1) \int |\eta(t, u_0)|^{p-1} \eta(t, u_0) (\eta(t, u_0) - \mathbf{A}(\eta(t, u_0))) \\ &= (p+1)c - (p+1) \int |\eta(t, u_0)|^{p+1}, \quad \forall \quad 0 < t < T_{\max}. \end{aligned}$$

Since  $\int |\eta(0, u_0)|^{p+1} = \int |u_0|^{p+1} = c$ , we infer that  $\int |\eta(t, u_0)|^{p+1} \equiv c$  for all  $0 \leq t < T_{\max}$ . Then  $\eta(t, u_0) \in M \cap N_b^* = N_b$  for all  $t \in [0, T_{\max})$ , hence  $\eta(T_{\max}, u_0) \in \partial N_b$ , and so  $I(\eta(T_{\max}, u_0)) \geq d_k$ . Since  $\eta(t, u_0) \in N_b$  for all  $t \in [0, T_{\max})$ , we deduce from Lemma 2.5 that

$$\begin{aligned} I(\eta(T_{\max}, u_0)) &= I(u_0) - \int_0^{T_{\max}} I'(\eta(t, u_0))[\mathbf{V}(\eta(t, u_0))] dt \\ &\leq I(u_0) - \int_0^{T_{\max}} \|\mathbf{V}(\eta(t, u_0))\|^2 dt \leq I(u_0) < d_k, \end{aligned}$$

a contradiction. So  $T_{\max} = +\infty$ , and above inequality shows similarly that  $I(\eta(t, u)) \leq I(u) < d_k$  for all  $t > 0$  and  $u \in N_b^0$ , hence previous argument shows that  $\eta(t, u) \in N_b^0$  for all  $t > 0$  and then (1), (2), (3) hold.

Finally, let  $\delta_0 \in (0, (\frac{1}{2}c)^{\frac{1}{p+1}})$  be such that Lemma 2.7 holds for  $\delta < \delta_0$ . For any  $u \in N_b^0$  with  $\text{dist}_{p+1}(u, P) \leq \delta < \delta_0$ , since

$$\eta(t, u) = u + t \frac{d}{dt} \eta(0, u) + o(t) = (1-t)u + t\mathbf{A}(u) + o(t),$$

we achieve that

$$\begin{aligned} \text{dist}_{p+1}(\eta(t, u), P) &= \text{dist}_{p+1}((1-t)u + t\mathbf{A}(u) + o(t), P) \\ &\leq (1-t) \text{dist}_{p+1}(u, P) + t \text{dist}_{p+1}(\mathbf{A}(u), P) + o(t) \\ &\leq (1-t)\delta + \frac{1}{2}t\delta + o(t) < \delta \end{aligned}$$

for  $t > 0$  small enough. Hence (4) holds.

### 3. PROOF OF THEOREM 1.1

After all the preparations above, now we are in a position to prove Theorem 1.1.



**Proof. of Theorem 1.1.(Existence part)** Take any  $k_1 \in [2, k+1]$  and  $\delta \in (0, \delta_0)$ , write  $d = c_{\delta k_1}$  for convenience in this part. We prove that there exists a couple  $(u_c, \lambda_c)$  with  $u_c$  changing its sign and  $|u_c|_{p+1}^{p+1} = c$  such that  $(u_c, \lambda_c)$  is a solution to (1.1), that is,  $d = c_{\delta k_1}$  is a correspondent value of some critical value of  $I_{\lambda_c}$ .

We claim that there exists a sequence  $\{u_n\} \subset N_b^0$  such that

$$I(u_n) \rightarrow d, \quad \mathbf{V}(u_n) \rightarrow 0 \quad \text{as } n \rightarrow +\infty, \quad \text{and} \quad \text{dist}_{p+1}(u_n, P) \geq \delta, \quad \forall n \in \mathbb{N}^+. \quad (3.1)$$

Proving this claim by contradiction. Suppose that (3.1) does not hold, recalling that  $d < d_k$ , there exists small  $\varepsilon \in (0, 1)$  such that

$$\|\mathbf{V}(u)\|^2 \geq \varepsilon, \quad \forall u \in N_b^0, \quad |I(u) - d| \leq 2\varepsilon, \quad \text{dist}_{p+1}(u, P) \geq \delta.$$

Recalling the definition of  $d = c_{\delta k_1}$  in (2.11), we see that there exists  $B \in \Gamma_{k_1}^0$  such that

$$\sup_{u \in B \setminus P_\delta} I(u) < d + \varepsilon.$$

Noting that  $B \subset N_b^0$ , we can consider  $D = \eta(2, B)$ , where  $\eta$  is in Lemma 2.11. Hence  $D \subset N_b^0$ . Lemma 2.8 (2) and Lemma 2.11 (2) imply that  $D \in \Gamma_{k_1}$ . By Lemma 2.11 (3), we have  $\sup_D I \leq \sup_B I < d_k$ , that is  $D \in \Gamma_{k_1}^0$  and so  $\sup_{D \setminus P_\delta} I \geq d$ . Let  $u_1 \in D \setminus P_\delta$  such that  $\sup_{D \setminus P_\delta} I - \varepsilon < I(u_1)$ , then there exists  $u \in B$  such that  $\eta(2, u) = u_1$  and

$$d - \varepsilon \leq \sup_{D \setminus P_\delta} I - \varepsilon < I(u_1) = I(\eta(2, u)).$$

Since  $\eta(t, u) \in N_b^0$  for any  $t \geq 0$  and  $\eta(2, u) = u_1 \notin P_\delta$ , Lemma 2.11 (4) shows that  $\eta(t, u) \notin P_\delta$  for all  $t \in [0, 2]$ . In particular,  $u \notin P_\delta$  and so  $I(u) < d + \varepsilon$ . Hence for all  $t \in [0, 2]$  we have

$$d - \varepsilon < I(\eta(2, u)) \leq I(\eta(t, u)) \leq I(u) < d + \varepsilon.$$

Which deduces  $\|\mathbf{V}(\eta(t, u))\|^2 \geq \varepsilon$  and

$$\frac{d}{dt} I(\eta(t, u)) = -I'(\eta(t, u))[\mathbf{V}(\eta(t, u))] \leq -\|\mathbf{V}(\eta(t, u))\|^2 \leq -\varepsilon,$$

for every  $t \in [0, 2]$ . Therefore, we arrive at

$$d - \varepsilon < I(\eta(2, u)) \leq I(u) - \int_0^2 \varepsilon dt < d + \varepsilon - 2\varepsilon = d - \varepsilon,$$

a contradiction. Then (3.1) holds. By Lemma 2.6, up to a subsequence, there exists  $u \in N_b$  such that  $u_n \rightarrow u$  strongly in

$H_r^1$  and  $\mathbf{V}(u) = 0, I(u) = d = c_{\delta k_1}$ . Since  $\mathbf{V}(u) = u - \mathbf{A}(u) = 0$ , that is  $u = \mathbf{A}(u)$ , hence  $u$  satisfies

$$\begin{cases} -\Delta u + u + \phi_u u = \sigma |u|^{p-1} u, \\ \int |u|^{p+1} = c. \end{cases}$$

Since  $\text{dist}_{p+1}(u, P) \geq \delta$ , we know that  $u \notin P_\delta$ , hence  $u$  is sign-changing. Let

$$\lambda_c = \sigma = \frac{\|u\|^2 + \int \phi_u |u|^2}{c}, \quad u_c = u.$$

We see that  $(u_c, \lambda_c)$  solves the problem  $(P_c)$ . In a word, for any  $k_1 \in [2, k+1]$ , every  $c_{\delta k_1}$  corresponds to a critical value of  $I_{\lambda_c}$  such that  $I_{\lambda_c}(u_c) = c_{\delta k_1} + \frac{c}{p+1}(1 - \lambda_c)$  for some couple  $(u_c, \lambda_c)$  which solves the problem  $(P_c)$ .

**(Multiplicity part)** We prove that system (1.1) has infinitely many sign-changing normalized solutions. Reasoning by



contradiction, suppose that there exists  $n_0 \in \mathbb{N}^+$  such that system (1.1) has only  $n_0$  such solutions. Take  $k \geq n_0 + 1$  fixed and  $\delta \in (0, \delta_0)$ , since  $\Gamma_{k_1+1}^0 \subset \Gamma_{k_1}^0$ , we have

$$c_{\delta 2} \leq c_{\delta 3} \leq \dots \leq c_{\delta k} \leq c_{\delta(k+1)} < d_k. \quad (3.2)$$

Since  $c_{\delta k_1}$  are correspondent values of critical values of  $I_\lambda$  for all  $k_1 \in [2, k+1]$  with some couple  $(u_c, \lambda_c)$ . We show that for any two different minimax values  $c_{\delta k_1}$ , the corresponding couples  $(u_c, \lambda_c)$  are different. Set  $d_1 \neq d_2$  are two such values,  $d_i$  corresponds to the couple  $(u_i, \lambda_i)$ . If  $I_{\lambda_1}(u_1) \neq I_{\lambda_2}(u_2)$ , then  $(u_1, \lambda_1) \neq (u_2, \lambda_2)$  obviously. If  $I_{\lambda_1}(u_1) = I_{\lambda_2}(u_2)$ , since  $I_{\lambda_i}(u_i) = d_i + \frac{c}{p+1}(1 - \lambda_i)$ , one has  $\lambda_1 - \lambda_2 = \frac{p+1}{c}(d_2 - d_1) \neq 0$ , then  $\lambda_1 \neq \lambda_2$  and so  $u_1 \neq u_2$ , hence  $(u_1, \lambda_1) \neq (u_2, \lambda_2)$ . Therefore, there certainly exists some  $2 \leq N_1 \leq k$  such that

$$c_{\delta N_1} = c_{\delta(N_1+1)} = \bar{c} < d_k. \quad (3.3)$$

Define

$$K = \{u \in N_b : u \text{ is sign-changing, } I(u) = \bar{c} \text{ and } V(u) = 0\}. \quad (3.4)$$

Then  $K$  is finite and symmetric, that is,  $K \in F$ . Then there exists  $k_0 \leq k-1$  and  $\{u_m : 1 \leq m \leq k_0\} \subset K$  such that

$$K = \{u_m, -u_m : 1 \leq m \leq k_0\}.$$

Taking  $O_{u_m}$  be open neighborhoods of  $u_m$  in  $H$ , such that any two of  $\overline{O_{u_m}}$  and  $-\overline{O_{u_m}}$ , where  $1 \leq m \leq k_0$ , are disjoint and

$$K \subset O = \bigcup_{m=1}^{k_0} \overline{O_{u_m}} \cup -\overline{O_{u_m}}.$$

Define a continuous map  $\tilde{f} : O \rightarrow \mathbb{R} \setminus \{0\}$  by

$$\tilde{f}(u) = \begin{cases} 1, & \text{if } u \in \bigcup_{m=1}^{k_0} \overline{O_{u_m}}, \\ -1, & \text{if } u \in \bigcup_{m=1}^{k_0} -\overline{O_{u_m}}. \end{cases}$$

Then  $\tilde{f}(-u) = -\tilde{f}(u)$ . Then by Tietze's extension theorem, there exists  $f \in C(H, \mathbb{R})$  such that  $f|_O \equiv \tilde{f}$ . Define

$$F(u) = \frac{f(u) - f(-u)}{2},$$

then  $F|_O \equiv \tilde{f}$  and, is odd on  $H$ . Define

$$K_\tau = \{u \in N_b : \inf_{v \in K} \|u - v\| < \tau\}.$$

Take  $\tau > 0$  small such that  $K_{2\tau} \subset O$ . Recalling  $V(u) = 0$  in  $K$  and  $K$  is finite, there exists  $C > 0$  such that

$$\|V(u)\| \leq C, \quad \forall u \in \overline{K_{2\tau}}. \quad (3.5)$$

By (3.4) and Lemma 2.6, it is easy to see that there exists small  $\varepsilon \in (0, \frac{d_k - \bar{c}}{2})$  such that

$$\|V(u)\|^2 \geq \varepsilon, \quad \forall u \in N_b \setminus (K_\tau \cup P_\delta) \text{ satisfying } |I(u) - d| \leq 2\varepsilon. \quad (3.6)$$

Let  $\alpha = \frac{1}{2} \min\{1, \frac{\tau}{3C}\}$ . Then we can take  $B \in \Gamma_{N_1+1}^0$  such that

$$\sup_{B \setminus P_\delta} I < c_{\delta(N_1+1)} + \alpha\varepsilon = \bar{c} + \alpha\varepsilon. \quad (3.7)$$

Let  $D = B \setminus K_{2\tau}$ , then  $D \in F$ . We claim that  $\gamma(D) \geq N_1$ . Otherwise, then there exists  $\tilde{g} \in F_{N_1}(D)$  such that for any  $u \in D$ ,  $\tilde{g} \neq 0$ . By Tietze's extension theorem, we get a map  $\bar{g} \in C(H, \mathbb{R}^{N_1-1})$  such that  $\bar{g}|_D \equiv \tilde{g}$ . Define



$$g(u) = \frac{\bar{g}(u) - \bar{g}(-u)}{2}, \quad \forall u \in H,$$

then  $g|_D \equiv \tilde{g}$  and is odd. Let  $G(u) = (g(u), F(u))$  for  $u \in B$ , then  $G \in C(H, \square^{N_1-1+1})$  and is odd. Hence  $G \in F_{N_1+1}(B)$ . Since  $B \in \Gamma_{N_1+1}$ , so  $G(u) = (g(u), F(u)) = 0$  for some  $u \in B$ . If  $u \in K_{2\tau} \subset O$ , then  $F(u) = 0$ , a contradiction. So  $u \in B \setminus K_{2\tau} = D$ , and then  $0 = g(u) = \tilde{g}(u) \neq 0$ , also a contradiction. Hence  $\gamma(D) \geq N_1$ , that is,  $D \in \Gamma_{N_1}$ . Note that  $D \subset B \subset N_b$  and  $B \in \Gamma_{N_1+1}^0$ , then  $\sup_D I \leq \sup_B I < d_k$ , we obtain that  $D \subset N_b^0$  and  $D \in \Gamma_{N_1}^0$ . We consider  $E = \eta(\frac{\tau}{3C}, D)$ . As previous proof in existence part, we have  $E \in \Gamma_{N_1}^0$ , hence  $\sup_{E \setminus P_\delta} I \geq c_{\delta N_1} = \bar{c}$ . On the other hand, there exists  $u_1 \in E \setminus P_\delta$  such that  $\sup_{E \setminus P_\delta} I - \alpha\varepsilon < I(u_1)$ , hence there exists  $u \in D$  such that  $\eta(\frac{\tau}{3C}, u) = u_1$  and then, we have

$$\bar{c} - \alpha\varepsilon \leq \sup_{E \setminus P_\delta} I - \alpha\varepsilon < I(u_1) = I(\eta(\frac{\tau}{3C}, u)).$$

Since  $\eta(t, u) \in N_b^0$  for all  $t \geq 0$  and  $\eta(\frac{\tau}{3C}, u) = u_1 \notin P_\delta$ , we have  $\eta(t, u) \notin P_\delta$  for all  $t \in [0, \frac{\tau}{3C}]$ . In particular,  $u \notin P_\delta$  and so  $I(u) < \bar{c} + \alpha\varepsilon$  by (3.7), since  $u \in D = B \setminus K_{2\tau} \subset B$ . Then for any  $t \in [0, \frac{\tau}{3C}]$ , we have

$$\bar{c} - \alpha\varepsilon < I(\eta(\frac{\tau}{3C}, u)) \leq I(\eta(t, u)) \leq I(u) < \bar{c} + \alpha\varepsilon.$$

In order to use (3.6), we need to show that  $\eta(t, u) \notin K_\tau$  for all  $t \in [0, \frac{\tau}{3C}]$ . If there exists  $T \in [0, \frac{\tau}{3C}]$  such that  $\eta(T, u) \in K_\tau$ , then there exist  $0 \leq t_1 < t_2 \leq T$  such that  $\eta(t_1, u) \in \partial K_{2\tau}$ ,  $\eta(t_2, u) \in \partial K_\tau$ , and  $\eta(t, u) \in K_{2\tau} \setminus K_\tau$  for  $t \in (t_1, t_2)$ . So we see from (3.5) that

$$\tau \leq \|\eta(t_1, u) - \eta(t_2, u)\| = \left\| \int_{t_1}^{t_2} \mathbf{V}(\eta(t, u)) dt \right\| \leq 2C(t_2 - t_1),$$

that is,  $\frac{\tau}{2C} \leq t_2 - t_1 \leq T \leq \frac{\tau}{3C}$ , a contradiction. Hence  $\eta(t, u) \notin K_\tau$  for all  $t \in [0, \frac{\tau}{3C}]$ , hence  $\|\mathbf{V}(\eta(t, u))\|^2 \geq \varepsilon$  and, we achieve that

$$\bar{c} - \alpha\varepsilon < I(\eta(\frac{\tau}{3C}, u)) \leq I(u) - \int_0^{\frac{\tau}{3C}} \varepsilon dt < \bar{c} + \alpha\varepsilon - 2\alpha\varepsilon = \bar{c} - \alpha\varepsilon,$$

a contradiction. Hence we have infinitely many different values of  $c_{\delta(k+1)}$ . This completes the proof.

#### 4. PROOF OF THEOREM 1.2

**Proof.** of Theorem 1.2. Define

$$K_c = \{(u_c, \lambda_c) : (u_c, \lambda_c) \text{ solves the problem } (P_c) \text{ with } u_c \text{ sign-changing}\}.$$

Then  $K_c \neq \emptyset$ . Let  $d = \inf_{(u_c, \lambda_c) \in K_c} I_\lambda(u)$ . Then  $d$  is well defined since  $I_\lambda(u) \geq \frac{1}{4} \|u\|^2$  for  $u \in N_\lambda$ , the Nehari manifold defined as  $N_\lambda = \{(u, \lambda) \in H \setminus \{0\} \times \mathbb{R}^+ : I'_\lambda(u)[u] = 0\}$ . Take  $k=1$  in Section 3, (1.1) has a couple  $(u_c, \lambda_c)$  with  $I_{\lambda_c}(u_c) = c_{\delta 2} < d_1$  solving the problem  $(P_c)$ . Hence  $d < d_1$ . Let  $(u_c^n, \lambda_c^n) = (u_n, \lambda_n) \in K_c$  be a minimizing sequence of  $d$  with  $I_{\lambda_n}(u_n) < d_1$  for all  $n \geq 1$ , then  $\|u_n\|^2 \leq 4I_{\lambda_n}(u_n) < 4d_1$ , that is,  $\{u_n\}$  is a bounded sequence. Since  $(u_n, \lambda_n)$  solves  $(P_c)$ , we have  $I'_{\lambda_n}(u_n) = 0$  and  $\lambda_n = \frac{\|u_n\|^2 + \int \phi_{u_n} |u_n|^2}{c} < c_0$ , then  $\lambda_n$  has a convergent subsequence which



still likewise labeled as  $\lambda_n$  and set  $\lambda_n \rightarrow \lambda_c = \lambda$ . Recalling the Sobolev inequality  $S \|u_n\|_{p+1}^2 \leq \|u_n\|^2$  and  $(u_n, \lambda_n) \in K_c$ ,

we deduce that  $\inf\{\lambda_n, \lambda\} \geq S c^{\frac{p-1}{p+1}} > 0$ . Then we have

$$I'_\lambda(u_n)[v] = \int \nabla u_n \nabla v + u_n v + \phi_{u_n} u_n v - \lambda |u_n|^{p-1} u_n v$$

and

$$I'_{\lambda_n}(u_n)[v] = 0 = \int \nabla u_n \nabla v + u_n v + \phi_{u_n} u_n v - \lambda_n |u_n|^{p-1} u_n v.$$

Then we evaluate that

$$I'_\lambda(u_n)[v] = (\lambda_n - \lambda) \int |u_n|^{p-1} u_n v$$

which implies that

$$|I'_\lambda(u_n)[v]| \leq |\lambda_n - \lambda| \int |u_n|^{p-1} u_n v.$$

Recalling the Sobolev inequality  $S \|v\|_{p+1}^2 \leq \|v\|^2$  again, we deduce that

$$|I'_\lambda(u_n)[v]| \leq c_1 |\lambda_n - \lambda| \|u_n\|_{p+1}^p \|v\|,$$

that is,  $|I'_\lambda(u_n)| \leq c_1 |\lambda_n - \lambda|$  which implies that  $I'_\lambda(u_n) \rightarrow 0$ . Hence  $\{u_n\}$  is a PS sequence of  $I_\lambda$ , and the fact that

the PS condition is valid for  $p \in [3, 5)$  and for any  $\lambda > 0$  has been inferred in [6]. Then  $u_n$  has a strongly convergent subsequence which still likewise labeled as  $u_n$ . Suppose  $u_n \rightarrow u$  strongly in  $H$  with  $\|u\|_{p+1}^{p+1} = c$ , then  $I'_\lambda(u) = 0$  and  $I_\lambda(u) = d$ . We need to show  $u$  changing sign. Recalling the Sobolev inequality  $S \|u\|_{p+1}^2 \leq \|u\|^2$ , we deduce from  $I'_{\lambda_n}(u_n)[u_n^\pm] = 0$  that

$$S \|u_n^\pm\|_{p+1}^2 \leq \|u_n^\pm\|^2 = \lambda_n \|u_n^\pm\|_{p+1}^{p+1} - \int \phi_{u_n} |u_n^\pm|^2 \leq c_0 \|u_n^\pm\|_{p+1}^{p+1},$$

which implies that  $\|u_n^\pm\|_{p+1} \geq \left(\frac{S}{c_0}\right)^{\frac{1}{p-1}} = c_1 > 0$  for all  $n \geq 1$ . Hence  $\|u^\pm\|_{p+1} \geq c_1$  and so  $(u, \lambda) \in K_c$ . This completes the

proof.

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